

02-15-02

A/Box seq

BAKER BOTTS LLP

Please type a plus sign (+) inside this box



# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. AP32573-AAA 072396.0  
 First Inventor Robbins  
 Title IDENTIFICATION OF \* see attached  
 Express Mail Label No. EU206386398US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
 (Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
 See 37 CFR 1.27.
3. ☒ Specification [Total Pages 81]  
 (preferred arrangement set forth below)  
 - Descriptive title of the invention  
 - Cross Reference to Related Applications  
 - Statement Regarding Fed sponsored R & D  
 - Reference to sequence listing, a table,  
 or a computer program listing appendix  
 - Background of the Invention  
 - Brief Summary of the Invention  
 - Brief Description of the Drawings (if filed)  
 - Detailed Description  
☒ Claim(s) [Total Sheets 10]  
☒ Abstract of the Disclosure [Total Sheets 1]
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 64]
5. Oath or Declaration [Total Pages ]  
 a. ☐ Newly executed (original or copy)  
 b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
 (for continuation/divisional with Box 18 completed)  
 i. ☐ **DELETION OF INVENTOR(S)**  
 Signed statement attached deleting inventor(s)  
 named in the prior application, see 37 CFR  
 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
 Box Patent Application  
 Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
 Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
 (if applicable, all necessary)  
 a. ☒ Computer Readable Form (CRF)  
 b. Specification Sequence Listing on:  
 i. ☐ CD-ROM or CD-R (2 copies); or  
 ii. ☒ paper  
 c. ☒ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
 (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS  
 Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
 (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
 (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
 (b)(2)(B)(i). Applicant must attach form PTO/SB/35  
 or its equivalent.
17. ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

of prior application No.: 09/653,182

Prior application information: Examiner Tizio, S.

Group Art Unit. 1627

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under  
 Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.  
 The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

21003

(Insert Customer No. or Attach bar code label here)

or

☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Alicia A. Russo

Registration No. (Attorney/Agent)

46, 192

Signature

Alicia A. Russo

Date

2/13/02

## \*Question 4 Addendum

4.a. Drawings are ☐ formal ☒ informal

## \* Question 5 Addendum

5.c. ☐ An unsigned oath or declaration is included.

## \* Question 8 Addendum

8.d. ☐ A sequence submission will follow.

## \* Question 9 Addendum

9.a. ☒ Assignment documents will follow.9.b. ☐ Assignment documents have been filed in  
parent application No.

## \* Question 11 Addendum

11.a. ☐ English translation will follow.

## \* Question 12 Addendum

12.a. ☒ Copies of IDS citations will follow.

## \* Question 15 Addendum

15.a. ☐ Certified copies of priority documents will follow.15.b. ☐ Certified copies of priority documents have been filed in parent  
application No.

Use the space below for additional information

--

Title (continued):

IDENTIFICATION OF PEPTIDES THAT FACILITATE UPTAKE AND CYTOPLASMIC  
AND/OR NUCLEAR TRANSPORT OF PROTEINS, DNA AND VIRUSES

## Addendum Sheet 2

18a. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information:

Examiner \_\_\_\_\_

of prior application No.: \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

18b. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information:

Examiner \_\_\_\_\_

of prior application No.: \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

18c. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information:

Examiner \_\_\_\_\_

of prior application No.: \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

☐ Amend the specification by inserting before the first line the sentence(s)

☐ "This application is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ "This application is based upon:

prior application No.: 09/653,182

, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.

, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.:

, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.:

, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.

, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.

, incorporated by reference herein

Priority under 35.U.S.C. §119 is claimed based upon the following applications.

## Foreign Applications:

Country: \_\_\_\_\_

Serial No.: \_\_\_\_\_

Filing Date: \_\_\_\_\_

Country: \_\_\_\_\_

Serial No.: \_\_\_\_\_

Filing Date: \_\_\_\_\_

Country: \_\_\_\_\_

Serial No.: \_\_\_\_\_

Filing Date: \_\_\_\_\_

## Provisional Applications:

Serial No: 60/151,980

Filing Date: 09/01/99

Serial No: 60/188,944

Filing Date: 03/13/00

Serial No: \_\_\_\_\_

Filing Date: \_\_\_\_\_

## FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1,060

### Complete if Known

Application Number	TBD
Filing Date	2/13/02
First Named Inventor	Robbins
Examiner Name	TBD
Group Art Unit	TBD
Attorney Docket No.	AP32573-AAA 072396.0237

### METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number **02-4377**
- Deposit Account Name **Baker Botts LLP**
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
		740	370	Utility filing fee	370
		330	165	Design filing fee	
		510	255	Plant filing fee	
		740	370	Reissue filing fee	
		160	80	Provisional filing fee	

SUBTOTAL (1) (\$ 370

#### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
50	20 ** = 30	9	270
13	3 ** = 10	42	420
Multiple Dependent			

Large Entity	Small Entity	Fee (\$)	Fee (\$)	Fee Description
		18	9	Claims in excess of 20
		84	42	Independent claims in excess of 3
		280	140	Multiple dependent claim, if not paid
		84	42	** Reissue independent claims over original patent
		18	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 690

\*\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
130	65			Surcharge - late filing fee or oath	
50	25			Surcharge - late provisional filing fee or cover sheet	
130	130			Non-English specification	
2,520	2,520			For filing a request for ex parte reexamination	
920*	920*			Requesting publication of SIR prior to Examiner action	
1,840*	1,840*			Requesting publication of SIR after Examiner action	
110	55			Extension for reply within first month	
400	200			Extension for reply within second month	
920	460			Extension for reply within third month	
1,440	720			Extension for reply within fourth month	
1,960	980			Extension for reply within fifth month	
320	160			Notice of Appeal	
320	160			Filing a brief in support of an appeal	
280	140			Request for oral hearing	
1,510	1,510			Petition to institute a public use proceeding	
110	55			Petition to revive - unavoidable	
1,280	640			Petition to revive - unintentional	
1,280	640			Utility issue fee (or reissue)	
460	230			Design issue fee	
620	310			Plant issue fee	
130	130			Petitions to the Commissioner	
50	50			Processing fee under 37 CFR 1.17(q)	
180	180			Submission of Information Disclosure Stmt	
40	40			Recording each patent assignment per property (times number of properties)	
740	370			Filing a submission after final rejection (37 CFR § 1.129(a))	
740	370			For each additional invention to be examined (37 CFR § 1.129(b))	
740	370			Request for Continued Examination (RCE)	
900	900			Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0

### SUBMITTED BY

Name (Print/Type)	Alicia A. Russo	Registration No. (Attorney/Agent)	46, 192	Telephone	212-408-2627
Signature	<i>Alicia A. Russo</i>	Date	02/13/02		

Complete (if applicable)

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**CERTIFICATION UNDER 37 C.F.R. 1.8(a) OR 1.10\***

*(When using Express Mail, the Express Mail label number is mandatory; Express Mail Certification is optional.)*

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

- ☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington D.C. 20231.

**37 C.F.R. 1.8(a)**

- ☐ with sufficient postage as first class mail.

**37 C.F.R. 1.10\***

- ☒ as "Express Mail Post Office to Address"  
Mailing Label No. EU206386398US (mandatory)

Alicia A. Russo  
Signature

Date: 2/13/02

Alicia A. Russo

*(type or print name of person certifying)*

**\*WARNING:** *Each paper of fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing 37 C.F.R. 1.10(b).  
"Since the filing of correspondence under § 1.10 without the Express Mail label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition. "Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Robbins et al.  
Serial No. : TBD Examiner: TBD  
Filed : Febraury 13, 2002 Group Art Unit: TBD  
For : IDENTIFICATION OF PEPTIDES THAT FACILITATE UPTAKE AND  
CYTOPLASMIC AND/OR NUCLEAR TRANSPORT OF PROTEINS,  
DNA AND VIRUSES

SUBMISSION OF SEQUENCE LISTING

I hereby certify that this paper is being deposited with the United States  
Postal Service as first class mail in an envelope addressed to: Assistant  
Commissioner for Patents, Washington, D.C. 20231

February 13, 2002  
Date of Deposit

Alicia A. Russo  
Attorney Name

46,192  
Registration No.

  
Signature

February 13, 2002  
Date of Signature

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with 37 C.F.R. §1.821-1.825, Applicants submit herewith an initial  
Sequence Listing in computer and paper form.

REMARKS

Applicants submit herewith a Sequence Listing in computer and paper form, in  
accordance with 37 C.F.R. §1.821-1.825. The content of the paper and computer readable copies

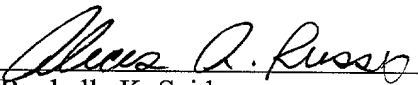
of the Sequence Listing submitted in accordance with 37 C.F.R. §1.821(c) and (e) are the same and do not include new matter.

No fee is believed to be required in connection with this communication.

However, if a fee is required, the Commissioner is hereby authorized to charge the fee to Deposit Account No. 02-4377. A copy of this sheet is enclosed.

Respectfully submitted,

Dated: February 13, 2002

  
Rochelle K. Seide  
Patent Office Reg. No. 32,300

Alicia A. Russo  
Patent Office Reg. No. 46,192

Attorneys for Applicants  
(212) 408-2627

Enclosures